



# Regulatory Document List

Regulatory Documents (for the purposes of the General Conditions of Recognition) in force as at 30th July 2014



July 2014

Ofqual/14/5493

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## Introduction

Condition J1.8 of the *General Conditions of Recognition*<sup>1</sup> defines a 'Regulatory Document' as:

A regulatory document, or part of a regulatory document, which features in a document entitled the 'Regulatory Document List', which may be published by Ofqual and may be varied and replaced by Ofqual from time to time.

Conditions B7 and D5 of the *General Conditions of Recognition* require an awarding organisation to ensure that:

- it complies with any requirement to take or to refrain from taking any action specified in a Regulatory Document (Condition B7.1);
- it has regard to any guidelines or principles of good practice in relation to any behaviour on the part of an awarding organisation set out in a Regulatory Document (Condition B7.2);
- any qualification it makes available, or proposes to make available, complies with any requirement relating to that qualification which is set out in a Regulatory Document (Condition D5.1); and
- in the development, delivery and award of any qualification which it makes available, or proposes to make available, it has regard to any guidelines and principles of good practice relating to that qualification which are set out in a Regulatory Document (Condition D5.2).

In addition, Condition D6.1 states that an awarding organisation may only make available a qualification which uses a unit or Rule of Combination developed by another person where it reasonably believes that:

- the unit or Rule of Combination complies with the requirements relating to it that are set out in any Regulatory Document; and
- in the development of the unit or Rule of Combination, due regard has been had to the guidelines and principles of good practice set out in any Regulatory Document.

In any case of difference or contradiction, the *General Conditions of Recognition* (and, where relevant, any Qualification Level Conditions or Subject Level Conditions) take precedence over any requirements or guidance set out in a Regulatory Document.

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<sup>1</sup> [www.gov.uk/government/publications/general-conditions-of-recognition](http://www.gov.uk/government/publications/general-conditions-of-recognition)

## **About this document**

This document constitutes the 'Regulatory Document List' referred to in Condition J1.8. It sets out all the documents (and parts of documents) which are Regulatory Documents within the meaning of Condition J1.8. It replaces all previous documents which specified Regulatory Documents for the purposes of Condition J1.8.

For ease of reference, the list is organised alphabetically by qualification type, with hyperlinks to the relevant documents. Subject criteria appear as a single heading for each qualification type, which leads to a list of the subjects included. Where the whole document continues to apply, the title only is shown. Where parts of a document continue to apply, those parts are listed beneath the document title.

## Regulatory Documents in force as at 30th July 2014

### Advanced Extension Award

- [Criteria for Advanced Extension Awards \(AEAs\)](#)

### The Diploma

- [Requirements from Arrangements for Awarding and Setting Standards in the Diploma](#)
- [GCSE, GCE, Principal Learning and Project Code of Practice](#), as modified by the [Addendum to the GCSE, GCE, Principal Learning and Project Code of Practice May 2011](#)
- [Criteria for Foundation, Higher and Advanced Diploma Qualifications](#)
- The [Diploma subject and performance criteria](#) (31 documents)

### Entry level

- [Criteria for Entry-level Qualifications](#)

### English for Speakers of other Languages (ESOL)

- [Criteria for English for Speakers of other Languages \(ESOL\) Qualifications](#)

### Functional skills

- [Criteria for Functional Skills Qualifications](#)
- [Functional Skills subject criteria](#) (3 documents)
- [Controlled Assessment Regulations for Functional Skills](#)

### GCE (modular AS/A level) / GCSE (graded A\* to G)

- [GCSE, GCE, Principal Learning and Project Code of Practice](#), as modified by the [Addendum to the GCSE, GCE, Principal Learning and Project Code of Practice May 2011](#)
- [GCSE Controlled Assessment Regulations](#)
- [Criteria for GCE AS and A-level Qualifications](#)
- [GCE AS and A level subject criteria](#) (26 documents)
- [GCE Applied A level subject criteria](#) (10 documents)
- [Criteria for GCSE Qualifications](#)
- [GCSE subject criteria](#) (39 documents)
- [Regulations for the Assessment of the Quality of Written Communication](#)
- [Data Exchange Procedures](#) and the associated [Data exchange templates \(A-K\)](#)

## Key skills

- [Criteria for key skills qualifications](#)

## Level 1/2 Certificates

- [Data Exchange Procedures](#) and the associated [Data exchange templates \(A-K\)](#)

## Literacy and Numeracy

- [Criteria for Adult Literacy and Numeracy Qualifications](#)

## NVQ

- [NVQ Code of Practice](#)  
The following parts still apply:
  - Expertise: paragraphs 4 and 5.
  - Data Requirements: paragraphs 22, 23 and 24.
  - Application of assessment methodology: paragraphs 40 to 72.
  - Appendix 1: Approved centre criteria.
  - Appendix 3: Sanctions for non-compliance with the centre approval criteria.
- [Addendum to NVQ code of practice 2006](#)
- [Criteria for National Vocational Qualifications \(NVQs\)](#)

## QCF

- [Regulatory Arrangements for the Qualifications and Credit Framework](#)  
Please note that for unit and rules of combination submitters that are not recognised awarding organisations the full document continues to apply.  
  
The following parts still apply:
  - Section 1. The design specifications of the QCF:  
All requirements
  - Section 3. Requirements for organisations developing and submitting units to form part of accredited qualifications:  
Requirements 3.2 and 3.3
  - Section 4. Requirements for organisations developing rules of combination for accredited qualifications:  
Requirements 4.2 to 4.4
  - Section 5. Requirements for Awarding Organisations:  
Requirements 5.3, 5.6 h and i; 5.11 c, d and g; 5.12–5.14
  - Annex B: Glossary
  - Annex E: QCF level descriptors
- [Operating rules for using the term 'NVQ' in a QCF qualification title](#)

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Any enquiries regarding this document/publication should be sent to us at:

Office of Qualifications and Examinations Regulation	
Spring Place	2nd Floor
Coventry Business Park	Glendinning House
Herald Avenue	6 Murray Street
Coventry CV5 6UB	Belfast BT1 6DN

Telephone 0300 303 3344

Textphone 0300 303 3345

Helpline 0300 303 3346